

1010 Rec'd PCT/PTO 23 DEC 2005

Attorney Docket: 27099U

MAIL STOP PCT

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| U.S. Department Of Commerce, Patent And Trademark Office  |   | Date: December <u>23</u> , 2005   |
| Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371  |   | U.S. Application No.:<br>(if known): Not Yet Assigned<br><b>10/562149</b> |
| International Application No.:<br>PCT/EP2004/051315   | International Filing Date:<br>30 June 2004 (30.06.2004) | Priority Date Claimed:<br>30 June 2003 (30.06.2003) EP                    |
| Title of Invention: <b>NOVEL PYRROLODIHYDROISOQUINOLINES USEFUL IN THE TREATMENT OF CANCER</b>  |   |   |
| Applicants for DO/EO/US: VENNEMANN, Matthias; BAER, Thomas; BRAUNGER, Juergen; GEKELER, Volker  |   |   |
| <p>Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)):             <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> has been communicated by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li><input type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2)).</li> <li><input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been communicated by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>ITEMS 10 to 19 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</b></p> <ol style="list-style-type: none"> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825</li> <li><input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4)</li> <li><input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4)</li> <li><input checked="" type="checkbox"/> Other items or information:<br/>           TRANSMITTAL LETTER; APPLICATION DATA SHEET; INTERNATIONAL PUBLICATION NUMBER: WO 2005/003130 A1, WITH PCT/ISA/210 (INTERNATIONAL SEARCH REPORT); INTERNATIONAL PUBLICATION DATE: 13 JANUARY 2005 (13.01.2005), WHICH CONSISTS OF 107 PAGES: 2 PAGES FOR THE COVER SHEET, 86 PAGES OF TEXTUAL SPECIFICATION, 19 PAGES OF 22 CLAIMS, 0 SHEETS OF DRAWINGS; <b>PRELIMINARY AMENDMENT WITH APPENDICES A AND B TO BE EXAMINED</b>; EXECUTED DECLARATION AND POWER OF ATTORNEY; PCT/IB/308 (FIRST NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION); PCT/IB/308 (SECOND AND SUPPLEMENTAL NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION); PCT/RO/101 (PCT REQUEST); POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST.         </li> </ol> |   |   |

Attorney Docket: 27099U

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|--|--|--|--|---------------------------------|--|
| U.S. Application Number:<br>(if known): Not Yet Assigned<br><b>10/562149</b> |  | International Application Number:<br>PCT/EP2004/051315 |  | Date: December <b>23</b> , 2005 |  |
|--|--|--|--|---------------------------------|--|

|   |  |              |              |
|---|--|--------------|--------------|
| The following fees are submitted:   |  | CALCULATIONS | PTO USE ONLY |
| 21. Basic National Fee ..... \$ 300.00  |  | \$ 300.00    |              |
| 22. Examination Fee<br>If International Preliminary Examination Report<br>prepared by USPTO and all claims satisfy<br>Provisions of PCT Article 33(1)-(4) ..... \$ 100.00<br>All other situations ..... \$ 200.00   |  | \$ 200.00    |              |
| 23. Search Fee (37 CFR 1.445(a)(2) has been paid on the<br>International Application to the USPTO<br>as an International Searching Authority ... \$ 100.00<br>International Search Report prepared<br>and provided to the Office ..... \$ 400.00<br>All other situations ..... \$ 500.00              |  | \$ 400.00    |              |
| <input checked="" type="checkbox"/> Additional fee for specification and drawings filed in<br>paper over 100 sheets (excluding Sequence listing or<br>computer program listing filed in an electronic medium).<br>The fee is \$ 250.00 for each additional 50 sheets of paper or<br>fraction thereof. |  | \$ 500.00    |              |
| ENTER APPROPRIATE BASIC FEE AMOUNT =  |  | \$ 1,400.00  |              |
| Surcharge of \$130.00 for furnishing the oath or declaration<br>later than <u>20</u> <u>30</u> months from the earliest claimed<br>priority date (37 CFR 1.492(e)).   |  | \$ 0.00      |              |

| CLAIMS   | NUMBER:<br>FILED | NUMBER:<br>EXTRA | RATE        |                           |    |
|--|------------------|------------------|-------------|---------------------------|----|
| TOTAL  | 21-20=           | 1                | X \$ 50.00  | \$ 50.00                  |    |
| INDEPENDENT  | 1-3=             | 0                | X \$ 200.00 | \$ 0.00                   |    |
| Multiple dependent claims(s)<br>(if applicable)  |                  |                  | + \$360.00  | \$ 0.00                   |    |
| TOTAL OF ABOVE CALCULATIONS =  |                  |                  |             | \$ 1,450.00               |    |
| Reduction by 2 for asserting small entity, if applicable.<br>(Note 37 CFR 1.9, 1.27, 1.28).  |                  |                  |             | \$ 0.00                   |    |
| SUBTOTAL =   |                  |                  |             | \$ 1,450.00               |    |
| Processing fee of \$130.00 for furnishing the English<br>translation later than <u>20</u> <u>30</u> months from the<br>earliest claimed priority date (37 CFR 1.492(f)). +     |                  |                  |             | \$ 0.00                   |    |
| TOTAL NATIONAL FEE =   |                  |                  |             | \$ 1,450.00               |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)).<br>The assignment must be accompanied by an appropriate cover<br>sheet (37 CFR 3.28, 3.31). \$40.00 per property + |                  |                  |             | \$ 0.00                   |    |
| TOTAL FEES ENCLOSED =  |                  |                  |             | \$ 1,450.00               |    |
|  |                  |                  |             | Amount to be:<br>refunded | \$ |
|  |                  |                  |             | charged                   | \$ |

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U.S. Application Number:  
(if known): Not Yet Assigned

International Application  
Number: PCT/EP2004/051315

Date: December 23, 2005

10/562149

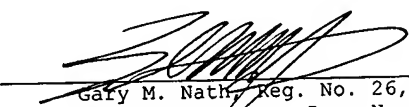
JC10 Rec'd PCT/PTO 23 DEC 2005

- a. ☒ One check in the amount of \$ 1,450.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$ \_\_\_\_\_ to cover the above fees. (A duplicate copy of this sheet is enclosed.)
- c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112.
- d. ☐ Fees are to be charged to a credit card ☐ WARNING: Information on this form may become public ☐ Credit Card Information should not be included on this form.  
☐ Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

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Customer No. 34375

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Attorney Docket: 27099U

Date: December 23, 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**10/562149**

**JC10 Rec'd PCT/PTO 23 DEC 2005**

In re Application of:

VENNEMANN, et al.

Serial No.: Not Yet Assigned

Filed: December 23, 2005

International Appl. No.: PCT/EP2004/051315

International Filing Date: 30 June 2004 (30.06.2004)

Title: **NOVEL PYRROLODIHYDROISOQUINOLINES USEFUL IN THE TREATMENT OF CANCER**

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Application Data Sheet;
- 2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning filing under 35 U.S.C. 371;
- 3) International Publication Number: WO 2005/003130 A1, with PCT/ISA/210 (International Search Report); International Publication Date: 13 January 2005 (13.01.2005), which consists of 107 pages:
  - 2 pages for the Cover Sheet,
  - 86 pages of Textual Specification,
  - 19 pages of 22 Claims,
  - 0 sheets of Drawings;
- 4) **Preliminary Amendment with Appendices A and B to be Examined;**
- 5) Executed Declaration and Power of Attorney;
- 6) PCT/IB/308 (First Notice Informing the Applicant of the Communication of the International Application);
- 7) PCT/IB/308 (Second and Supplemental Notice Informing the Applicant of the Communication of the International Application);
- 8) PCT/RO/101 (PCT Request);
- 9) Check No.: 1379 in the Amount of \$ 1,450.00 for Basic Filing Fee, which includes the Search and Examination Fees (\$900), for Additional Fee for over 100 sheets (\$500), and for 1 Extra Claim over 20 Total Claims (\$50), as a Large Entity;
- 10) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

By: 

Sheldon M. McGee, Reg. No. 26,965  
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